TEMPLATE FOR ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN (ESMP) AS ANNEXED TO THE FINANCING AGREEMENT

P-Z1-DB0-279: SADC Sub-Regional Transport and Trade Facilitation Project Phase II

General Considerations

1. **The Implementing Agency Roads Authority** is planning to implement the SADC Sub-Regional Transport and Trade Facilitation Project Phase II **(P-Z1-DB0-279)** Project. The Bank has agreed to provide financing, implementation support and monitoring for the Project.

2. **Roads Authority** will implement measures and actions of this Environmental and Social Management Plan[1] (***ESMP***) so that the Project meets all the requirements of the Bank Environmental and Social Operational Safeguards (***OS***) and the National policy and legal requirements.

3. Where the ESMP refers to specific plans, whether they have already been prepared or are to be developed, the ESMP requires compliance with all mandatory provisions of such plans.

4. The table below summarizes the material measures and actions that are required, the basis of the requirement, the timing of the measure or action, and the criteria to be used for determining whether the required measure or action has been successfully achieved. **The Roads Authority** is responsible for compliance with all requirements of the ESMP even when implementation of specific measures and actions is conducted by an entity different from the Project Implementation Unit (PIU).

5. Implementation of the material measures and actions set out in this ESMP will be monitored and reported to the Bank **by the Roads Authority** as required by the ESMP and the conditions of the legal agreement, and the Bank will monitor and assess progress and completion of the measures and actions throughout implementation of the Project.

6. As agreed by the Bank and the **Roads Authority**, this ESMP may be revised from time to time during Project implementation, to reflect adaptive risk management of project changes and unforeseen circumstances or in response to assessment of project performance conducted under the ESMP itself. In such circumstances, **Roads Authority** will propose and agree changes with the Bank, and then update the ESMP to reflect such changes.

[1] The ESMP refers to all the E&S risks/impacts and measures, as approved in all the disclosed E&S documents and agreed between the Bank and Borrower. For projects involving multiple subprojects, that are identified, prepared and implemented during the course of the project, the Borrower will need to demonstrate to the Bank, before the project appraisal, through the preparation of E&S documentation of a sample of subprojects, that it has the capacity to carry out appropriate environmental and social assessment of subprojects, and prepare and implement such subprojects in accordance with the national laws and the OSs. (***Section III.2.3 of Bank's ESP and section D of OS1***)

Material Actions[2] *to Manage the Project's E&S Risks and Impacts*		*Basis for Requirement*	*Key Performance Indicator*	*Indicative Timing/Deadline*
Periodic E&S implementation report to the Bank		Bank's ESP and OS1	○ Monthly implementation of E&S reports submitted to Bank ○ Annual Environmental and Social Performance Audit reports submitted to Bank	○ Monthly Report submitted no later than 15th of following month; ○ Audit submitted no later than 30th March of following year
1	Recruitment of E and S specialists as part of the Project implementation unit	Disclosed ESIA, OS1	○ 2 qualified E&S specialists in the PIU (1 Environmental Specialist and 1 Social Specialist)	○ At Project Commencement and maintained throughout the project period
2	Establishment of the Project Grievance Redress Mechanism (GRM) and disclosure to Public	OS1, OS10 and National requirements	○ Evidence of GRM disclosure on RA website (disclosure links shared with Bank) ○ Evidence of implementation (grievance log / tracker) ○ Number of Grievances acknowledged within 7 days and closed within 30 days	○ Before implementation of project activities ○ During project implementation and maintained throughout the project period ○ Maintained throughout the project period
3	Payment of compensation and reinstallation of affected people	SO10	○ Number of PAPs compensated before commencement of works ○ A RAP Completion Audit report prior to works confirming 100% delivery of compensation package	○ Before commencement of construction works
4	Incorporation of site-specific E&S measures in the request for proposals	SO1 & National requirements	○ Percentage of RFPs and BOQs with E&S measures from disclosed ESIA	During the procurement process but prior to publishing of RFP

[2] Please add any relevant key actions and/or indicate "Not applicable" in the third column ("Basis for requirement") for actions that are not applicable to the project.

5	Submission of high-risk activity's Contractor ESMP (*C-ESMP*) to Bank clearance	Bank's ESP and OS1	○ Percentage of Contractors with Bank No-Objection/Clearance of the C-ESMP obtained prior to the start of civil works	○ Before commencement of construction works
6	Establishment of the Contractor's Grievance Mechanism (GM) and information of workers	ÓS1, OS2, SO10 and Bank's Disclosure and Access to Information Policy	○ Percentage of contractor workers that have been inducted on GRM ○ Percentage of contractor workers that have signed Code of Conduct ○ -Number of contractor workers' Grievances acknowledged within 7 days and closed within 30 days	○ Prior to construction works and maintained throughout construction period
7	Obtaining nationally required licenses prior commencement of subjected activities (excavations, tree-cutting, working at height, working in confined spaces, etc.)	OS1, OS2 and national labor laws	○ Percentage of nationally required relevant licenses obtained.	○ Prior to commencement of the relevant activities
8	Preparation, approval, and disclosure of specific E&S documents during Project implementation, including prior review of Category 1 terms of reference by the Bank	Bank's ESP, OS1 and national requirements	○ Percentage of ancillary facilities E&S documents prepared and disclosed before start of associated works / use.	○ Prior to commencement of specific works / use of ancillary facility
9	Engagement with concerned stakeholders of each relevant specific E&S activity	OS1, OS10, Bank's Disclosure and Access to Information Policy	○ Percentage of planned Stakeholder engagement activities implemented within timeline ○ Number of stakeholders engaged per planned activity with data disaggregated by gender and age	○ Monthly throughout the project

10	Establishment of Emergency Preparedness and Response mechanism	OS1 & OS4, national legislation on contingencies et	○ Percentage of high-risk activity that conducted hazard risk assessment	○ Before commencement of specific works
11	Appropriate and timely handling of complaints/grievances	Bank's ESP and OS1	○ Number of Grievances acknowledged within 7 days and closed within 30 days ○ Number of grievances recorded and disaggregated by gender and SEAH ○ Percentage of complainants satisfied with grievance handling after closure of complaint	○ At Project commencement and maintained throughout the project period
12	Notification to riparian or alert to downstream exposed peoples	Bank's ESP and OS1, applicable International Treaty/Convention ratified	Not applicable	Not applicable
13	Capacity building of key project implementers	OS1	○ Percentage of project and contractor staff sensitized on E&S requirements ○ Capacity building activities delivered as part of project activities	○ At Project commencement and maintained throughout the project period
14	Implementation of ESMS/ESAP[3]	OS1 and OS9, national requirements	Not applicable	Not applicable
14.1	*Approval of any required E&S management procedure*	Not applicable	Not applicable	Not applicable
14.2	*Establishment of the E&S unit*	Country System	Not applicable	Not applicable
14.3	*Capacity Building of the E&S Unit*			
14.4	*Processing the Value Chain E&S due diligence*	Country system	Not applicable	Not applicable
15	Suspending works in the event of EOHS risk or incident, immediately notify the Bank, and resume works only upon no-objection of the Bank.	Bank's ESP	○ Number of stop orders issued due to EOHS risk/incident	○ Immediately and no later than 48 hours after the occurrence

[3] Applies to non-sovereign operations and public sector projects implemented by permanent autonomous Agencies/Institutions.

			○ Percentage of notifications to the Bank submitted within 48 hours	
16	Prepare the root-cause analysis (RCA) of any fatal EOHS incident and implement the Corrective Action Plan (CAP).	Bank's ESP and OS1	○ Percentage of RCA and CAP for fatal EOHS incidents prepared by an independent expert and submitted to the Bank within 28 days of incident ○ Percentage of CAP implemented within the agreed time	○ Within 28 days after incidence occurrence
17	Disclosure of Project's E&S reports to the public	OS1, OS10, Bank's Disclosure and Access to Information Policy	○ Number of relevant E&S reports publicly disclosed within 15 days after Bank's clearance	○ Continuous during project implementation